

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Novartis AG

Application No./Patent No. 10/696,488

Filed/Issue Date: 29 October 2003

Titled:

2-SUBSTITUTED NUCLEOSIDES AND OLIGONUCLEOTIDE DERIVATIVES

Novartis AG

a company

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)
the patent application/patent identified above, by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 624325, Frame 0717, or for which a copy therefore is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

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☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Frank Wu

Printed or Typed Name

6 May 2010

Date

Agent for Applicants

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ASSIGNMENT

- I / We
1. Bernard CUENOUD, 33 Nymans Close, Horsham, West Sussex, RH 12 5JR, Great Britain, citizen of Switzerland
 2. Karl-Heinz ALTMANN, Tannenweg 5, 4153 Reinach, Switzerland, citizen of Germany
 3. Pierre MARTIN, Meisenweg 38, 4310 Rheinfelden, Switzerland, citizen of Switzerland
 4. Heinz Ernst MOSER, 32 Hazel Close, Southwater, Horsham, West Sussex, RH13 7GN, Great Britain, citizen of Switzerland

for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, do hereby sell and assign to *Novartis AG, a Company organized under the laws of the Swiss Confederation, of Schwarzwaldallee 215, 4058 Basel, Switzerland*, its successors, assigns and legal representatives all my/our right, title and interest, in and for the United States of America, in and to the invention entitled:

2'-Substituted nucleosides and oligonucleotide derivatives

invented by me/us and described in the international application

No. **PCT/EP 97/02738** filed **27.05.1997**

and all United States Letters Patent which may be granted therefor, and all divisions, reissues, continuations and extensions thereof, the said interest being the entire ownership of the said Letters Patent when granted, to be held and enjoyed by the said *Novartis AG*, its successors, assigns or other legal representatives, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by me/us if this assignment and sale had not been made;

And I/we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to the said *Novartis AG*.

Signed on

Bernard Cuénoud
Bernard CUENOUD

03/02/99

Karl-Heinz ALTMANN

Pierre MARTIN

Heinz Ernst Moser
Heinz Ernst MOSER

4/21/99

ASSIGNMENT

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And I/we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to the said *Novartis AG*.

Signed on

Bernard CUENOUD

Karl-Heinz Altmann
Karl-Heinz ALTMANN

Pierre Martin
Pierre MARTIN

Heinz Ernst MOSER

Feb. 8, 1999

Feb. 15, 1999

TO: JESSICA YAO COMPANY: 220 MASS AVE

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UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
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JESSICA YAO
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ASSIGNOR:

CUENOUD, BERNARD

DOC DATE: 03/02/1999

ASSIGNOR:

ALTMAN, KARL-HEINZ

DOC DATE: 02/08/1999

ASSIGNOR:

MARTIN, PIERRE

DOC DATE: 02/15/1999

ASSIGNOR:

MOSES, HEINZ ERNST

DOC DATE: 04/21/1999

ASSIGNEE:

NOVARTIS AG
LICHTSTRASSE 35
BASEL, SWITZERLAND 4056

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TO: JESSICA YAO COMPANY: 220 MASS AVE

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ISSUE DATE:

TITLE: 2'-SUBSTITUTED NUCLEOSIDES AND OLIGONUCLEOTIDE DERIVATIVES

ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

PATENT ASSIGNMENT

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SUBMISSION TYPE:	NEW ASSIGNMENT										
NATURE OF CONVEYANCE:	ASSIGNMENT										
CONVEYING PARTY DATA											
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>Bernard Cuenoud</td><td>03/02/1999</td></tr><tr><td>Karl-Heinz Altman</td><td>02/08/1999</td></tr><tr><td>Pierre Martin</td><td>02/15/1999</td></tr><tr><td>Heinz Ernst Moses</td><td>04/21/1999</td></tr></tbody></table>		Name	Execution Date	Bernard Cuenoud	03/02/1999	Karl-Heinz Altman	02/08/1999	Pierre Martin	02/15/1999	Heinz Ernst Moses	04/21/1999
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RECEIVING PARTY DATA											
<table border="1"><tr><td>Name:</td><td>Novartis AG</td></tr><tr><td>Street Address:</td><td>Uchstrasse 35</td></tr><tr><td>City:</td><td>Basel</td></tr><tr><td>State/Country:</td><td>SWITZERLAND</td></tr><tr><td>Postal Code:</td><td>4056</td></tr></table>		Name:	Novartis AG	Street Address:	Uchstrasse 35	City:	Basel	State/Country:	SWITZERLAND	Postal Code:	4056
Name:	Novartis AG										
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PROPERTY NUMBERS Total: 1											
<table border="1"><thead><tr><th>Property Type</th><th>Number</th></tr></thead><tbody><tr><td>Application Number:</td><td>10896488</td></tr></tbody></table>		Property Type	Number	Application Number:	10896488						
Property Type	Number										
Application Number:	10896488										
CORRESPONDENCE DATA											
Fax Number: (617)871-3392 <i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>											
Email: jessica.yao@novartis.com											
Correspondent Name: Jessica Yao											
Address Line 1: 220 Mass Ave											
Address Line 4: Cambridge, MASSACHUSETTS 02139											
ATTORNEY DOCKET NUMBER:	20890-US-CNT02										
NAME OF SUBMITTER:	Jessica Yao										
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